

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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PATENT & TRADEMARK OFFICE*

Applicant : Seung U. Kim  
Serial No. : 09/887,145  
Filed : June 22, 2001  
For : "IMMORTALIZED HUMAN MICROGLIA  
CELL AND CONTINUOUS CELL LINE" **RECEIVED**  
Examiner : unknown  
Group Art Unit : unknown  
Attorney's Docket No. : UBC-002 **MAR 19 2002**  
**OFFICE OF PETITIONS**

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I hereby certify that this correspondence is being deposited with  
the United States Postal Service as first class mail in an envelope  
addressed to Assistant Commissioner for Patents, Washington, D.C.  
20231 on: \_\_\_\_\_.

Attorney for Applicant: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

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**REPLY TO NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT  
APPLICATIONS CONTAINING NUCLEOTIDE SEQUENCE AND/OR  
AMINO ACID SEQUENCE DISCLOSURES**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

In response to the Notice To File Missing Parts mailed July 17,  
2001 and the subsequent Notice Of Incomplete Reply (NonProvisional)  
mailed January 10, 2002, requesting compliance with requirements for  
patent applications containing nucleotide sequence and/or amino acid

sequence disclosures, please find enclosed the following documents for filing on behalf of applicant and for formal entry into the above-identified application:

1. An Amendment Of Specification And Request For Entry Of A Paper Form Copy Of The Sequence Listing Containing Nucleotide Sequence And/or Amino Acid Sequence Disclosures.
2. Replacement amended paragraph pages for the Specification.
3. A paper form copy of the "Sequence Listing" to be formally entered into the original Specification of the above-identified patent application.
4. A marked-up copy of the replacement amended paragraph pages for the Specification pursuant to 37 C.F.R. 121(b).
5. A computer readable form (CRF) copy of the "Sequence Listing".
6. A Statement And Verification Of Substantive Identity Between The Computer Readable Form (CRF) Copy And The Paper Form Copy Of The "Sequence Listing".
7. One copy of the Notice To File Misssing Parts as mailed July 19, 2001, 2001.
8. One copy of the Notice Of Incomplete Reply (NonProvisional) as mailed January 10, 2002.

Respectfully submitted,

SEUNG U. KIM

Date: March 14, 2002  
P.O. Box 5387  
Magnolia, Massachusetts 01930  
Tel.: (978) 525-3794

By: David Prashker  
David Prashker  
Reg. No. 29,693  
Attorney for applicant



# UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
[www.uspto.gov](http://www.uspto.gov)

APPLICATION NUMBER	FILED RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/887,145	06/22/2001	Seung U. Kim	UBC-002



David Prashker, P.C.  
P.O. Box 5387  
Magnolia, MA 01930

CONFIRMATION NO. 8023

## FORMALITIES LETTER



\*OC000000007292878\*

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MAR 14 2002

Date Mailed: 01/10/2002

OFFICE OF PERTINENCE

## NOTICE OF INCOMPLETE REPLY (NONPROVISIONAL)

### *Filing Date Granted*

The U.S. Patent and Trademark Office has received your reply on 11/13/2001 to the Notice to File Missing Parts (Notice) mailed 07/19/2001 and it has been entered into the nonprovisional application. The reply, however, does not include the following items required in the Notice.

The period of reply remains as set forth in the Notice. You may, however, obtain EXTENSIONS OF TIME under the provisions of 37 CFR 1.136 (a) accompanied by the appropriate fee (37 CFR 1.17(a)).

A complete reply must be timely filed to prevent ABANDONMENT of the above-identified application.

- This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing", an initial paper or compact disc copy of the "Sequence Listing", as well as an amendment directing its entry into the application. Applicant must also provide a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at [patin21help@uspto.gov](mailto:patin21help@uspto.gov) or [patin3help@uspto.gov](mailto:patin3help@uspto.gov)

*A copy of this notice MUST be returned with the reply.*

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### **Customer Service Center**

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
 UNITED STATES PATENT AND TRADEMARK OFFICE  
 WASHINGTON, D.C. 20231  
 www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/887,145	06/22/2001	Seung U. Kim	UBC-002

David Prashker  
 DAVID PRASHKER, P.C.  
 P.O. Box 5387  
 Magnolia, MA 01930



CONFIRMATION NO. 8023  
 FORMALITIES LETTER



\*OC00000006317492\*

Date Mailed: 07/19/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

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MAR 14 2002

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 65.**
- This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1 825. Applicant's attention is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing", an initial paper or compact disc copy of the "Sequence Listing", as well as an amendment directing its entry into the application. Applicant must also provide a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

For questions regarding compliance to these requirements, please contact:

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PART 2 - COPY TO BE RETURNED WITH RESPONSE